

3/2

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

5

Application Number

10/539,643

Filing Date

June 16, 2005

First Named Inventor

Gerd STEINER

Art Unit

1616

Examiner Name

Unassigned

Attorney Docket Number

BASF.10039 (PF 54175)

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
 - ☐ Petition to Convert to a Provisional Application
 - ☐ Power of Attorney, Revocation
 - ☐ Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ Landscape Table on CD

- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/Incomplete Application
 - ☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53

Remarks

The Director is hereby authorized to charge any appropriate fees that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-3218. This paper is submitted in duplicate.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name
Hutchison & Mason PLLC

Signature
Mary B. Grant

Printed name
Mary B. Grant

Date
12/14/05

Reg. No. 32,176

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature
Jennie P. Snead

Typed or printed name
Jennie P. Snead

Date
12/15/05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Patent
Attorney Docket No. BASF.10039 (PF 54175)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gerd STEINER et al.

Application No.: 10/539,643

Group Art Unit: 1616

International Application No. PCT/EP2003/014443

Filing or 371(c) Date: June 16, 2005

Examiner: Unassigned

Title: Pesticidal Dibenzo(hetero)azepine
Derivatives

Confirmation No.: 2925

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. A copy of each of the documents cited and required by 37 C.F.R. § 1.98 is enclosed.

Some of the listed documents were cited in the International Search Report in a corresponding International application, a copy of which is enclosed. A copy of the International Preliminary Examination Report is also enclosed.

This Information Disclosure Statement contains information which is not in the English language but was cited in a search report or other action by a foreign patent office in a counterpart foreign application. In accordance with MPEP § 609 IIIA(3), an English language version of the search report or action which indicates the degree of relevance found by the foreign office is being submitted herewith. English language abstracts or claims, or English language equivalent applications also have been provided according to MPEP § 609 IIIA(3), where available.

To assist the Examiner, the documents are listed on the attached form PTO/SB/08. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The cited documents are being submitted within three (3) months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later. Since these documents are being filed within the time period set forth in 37 C.F.R. § 1.97(b), no fee or statement is required.

The Director is hereby authorized to charge any appropriate fees that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-3218.

Respectfully submitted,

HUTCHISON & MASON PLLC

Date: 12/14/05

By: Mary B. Grant
Mary B. Grant
Registration No. 32,176

P.O. Box 31686
Raleigh, NC 27612
+1.919.829.9600

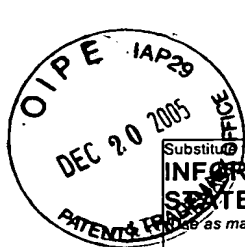
I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on 12/15/2005

Jennie Snead

(Typed Name of Person Signing Certificate)

J. Snead
(Signature of Person Signing Certificate)

Date of Signing: 12/15/05



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

Application Number	10/539,643
Filing Date	June 16, 2005
First Named Inventor	STEINER, Gerd
Group Art Unit	1616
Examiner Name	Unknown

Sheet 1 of 1

Attorney Docket No: BASF.10039 (PF 54175)

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document
	3 539 573	11-10-1970	SCHMUTZ et al.
	3 444 169	05-13-1969	HOWELL et al.
	3 458 516	07-29-1969	HOWELL et al.
	3 389 139	06-18-1968	SCHMUTZ et al.
	3 412 193	11-19-1968	COPPOLA
	3 726 977	04-10-1973	SCHMUTZ et al.

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Abstract, Translation, English Language Equivalent or Search Report
	WO 92/12133	07-23-1992		Search Report
	DE 1 280 879	08-07-1961		Search Report
	EP 0 282 236	09-14-1988		
	DE 1 645 954	01-16-1967		English Language Equivalent 3 444 169
	DE 1 470 427	06-02-1964		English Language Equivalent 3 389 139

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Abstract, Translation, English Language Equivalent or Search Report
	KLUNDER, Janice M., et al. "Novel non-nucleoside inhibitors of HIV-1 reverse transcriptase. 2. Tricyclic Pyridobenzoxazepinones and Dibenzoxazepinones", J. Med. Chem., 1992, 1887-1897, vol. 35.	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. † Applicant's unique citation designation number (optional) ‡ Applicant is to place a check mark here if English language Translation is attached